

U.S. DEPARTMENT OF COMMERCE, PATENT AND TRADEMARK OFFICE		DATE: 30 December 2004 (31.12.2004)
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		U.S. APPL. NO. (if known) Not Yet Assigned 10/519487
INTERNATIONAL APPLICATION NO.: PCT/EP2003/007060	INTERNATIONAL FILING DATE: 02 July 2003 (02.07.2003)	PRIORITY DATE CLAIMED: 04 July 2002 (04.07.2002) DE 10 July 2002 (10.07.2002) DE
TITLE OF INVENTION: UTILIZATION OF HETEROARENE CARBOXAMIDE AS DOPAMINE-D3 LIGANDS FOR THE TREATMENT OF CNS DISEASES		
APPLICANT(S) FOR DO/EO/US: GMEINER, Peter; HÜBNER, Harald; SCHLOTTER, Karin		
Applicant hereby submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<p>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</p> <p>3. <input checked="" type="checkbox"/> This express request to begin national examination procedures (35 USC 371(f)) The submission must include items(5), (6), (9) and (21) indicated below.</p> <p>4. <input checked="" type="checkbox"/> The US has been elected (Article31)</p> <p>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)):</p> <p style="margin-left: 40px;">a. <input checked="" type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</p> <p style="margin-left: 40px;">b. <input type="checkbox"/> has been communicated by the International Bureau.</p> <p style="margin-left: 40px;">c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US)</p> <p>6. <input checked="" type="checkbox"/> A English translation of the International Application as filed (35 U.S.C. 371(c)(2).</p> <p>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))</p> <p style="margin-left: 40px;">a. <input type="checkbox"/> are attached hereto (required only if not transmitted by the International Bureau).</p> <p style="margin-left: 40px;">b. <input type="checkbox"/> have been communicated by the International Bureau.</p> <p style="margin-left: 40px;">c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</p> <p style="margin-left: 40px;">d. <input checked="" type="checkbox"/> have not been made and will not be made.</p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p> <p><b>ITEMS 11 to 20 BELOW CONCERN OTHER DOCUMENT(S) OR INFORMATION INCLUDED:</b></p> <p>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input checked="" type="checkbox"/> A <b>FIRST</b> preliminary amendment.</p> <p>14. <input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment</p> <p>15. <input type="checkbox"/> A substitute specification.</p> <p>16. <input type="checkbox"/> A change of power of attorney and/or address letter.</p> <p>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter2 and 35 USC 1821 - 1825</p> <p>18. <input type="checkbox"/> A second copy of the published international application under 35 USC 154(d)(4)</p> <p>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 USC 154(d)(4)</p> <p>20. <input type="checkbox"/> Other items or information:</p> <p>TRANSMITTAL FORM; FEE CALCULATION; INTERNATIONAL PUBLICATION NO. WO 2004/004729 A1 WITH INTERNATIONAL PUBLICATION DATE 15 JANUARY 2004 (15.01.2004) INCLUDING INTERNATIONAL SEARCH REPORT (IN GERMAN &amp; ENGLISH) WITH VERIFIED ENGLISH TRANSLATION, WHICH CONSISTS OF 52 PAGES INCLUDING: 2 PAGES COVER SHEET CONTAINING THE ABSTRACT, 37 PAGES TEXTUAL SPECIFICATION, 13 PAGES OF 27 CLAIMS; PRELIMINARY AMENDMENT WITH ATTACHMENT A; UNEXECTUED DECLARATION/POWER OF ATTORNEY; PCT/IB/301 NOTIFICATION OF RECEIPT OF RECORD COPY; PCT/IB/304 NOTIFICATION CONCERNING SUBMISSION OF PRIORITY DOCUMENT; PCT/IB/306 NOTIFICATION OF THE RECORDING OF A CHANGE; PCT/IB/308 NOTICE INFORMING THE APPLICANT OF THE COMMUNICATION OF THE INTERNATIONAL APPLICATION TO THE DESIGNATED OFFICES.</p>		

U.S. APPLICATION NO. (if known) not yet assigned <div style="font-size: 1.5em; font-weight: bold;">10/519487</div>	INTERNATIONAL APPLICATION NO. PCT/EP2003/007060	DATE: <i>30</i> December 2004 ( <i>30</i> . 12 . 2004 )
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21. <input checked="" type="checkbox"/> The following fees are submitted:  <b>Basic National Fee (37 CFR 1.492(a)(1)-(5):</b> Basic National Stage Filing Fee, Examination Fee, and Search Fee .....\$1,000.00          ENTER APPROPRIATE BASIC FEE AMOUNT =	<u>CALCULATIONS</u>  \$ 1,000.00          \$ 1,000.00	<u>PTO USE ONLY</u>
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Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than ____ 20 ____ 30 months from the earliest claimed priority date (37 CFR 1.492(e)).	\$	
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CLAIMS	NO. FILED	NO. EXTRA	RATE		
TOTAL	27 - 20 =	7	X \$ 50.00	\$	350.00
INDEPENDENT	6 - 3 =	3	X \$ 200.00	\$	600.00
Multiple dependent claims(s) (if applicable)			+ \$360.00	\$	0.00
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$	<b>1,950.00</b>
Reduction by 2 for asserting small entity, if applicable. (Note 37 CFR 1.9, 1.27, 1.28).				\$	0.00
<b>SUBTOTAL =</b>				\$	<b>1,950.00</b>
Processing fee of <b>\$130.00</b> for furnishing the English translation later than ____ 20 ____ 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	0.00
<b>TOTAL NATIONAL FEE =</b>				\$	<b>1,950.00</b>
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00 per property +</b>				\$	.00
<b>TOTAL FEES ENCLOSED =</b>				\$	<b>1,950.00</b>
				Amount to be:	
				refunded	\$
				charged	\$

U.S. APPLICATION NO. (if known) not yet assigned <b>10/519487</b>	INTERNATIONAL APPLICATION NO.  PCT/EP2003/007060	DATE: <u>30</u> December 2004 ( <u>30</u> 12.2004)
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a. ☒ One check in the amount of \$ 1,950.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. 14-0112 in the amount of \$\_\_\_\_\_ to cover the above fees. (A duplicate copy of this sheet is enclosed.)

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 14-0112.

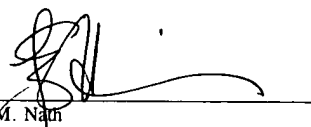
d. Fees are to be charged to a credit card ☐ WARNING: Information on this form may become public ☐ Credit Card Information should not be included on this form. ☐ Provide credit card information and authorization on PTO-2038

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed to request that the application be restored to pending status.

Send All Correspondence To:

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\_\_\_\_\_  
Gary M. Nath  
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VERIFICATION OF TRANSLATION

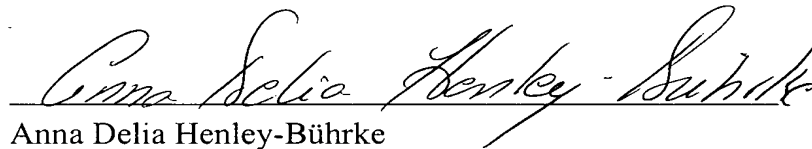
I, Anna Delia Henley-Bührke

of

Hoffmann · Eitle  
Arabellastrasse 4  
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do hereby certify that I am conversant with the English and German language and am a competent translator thereof, and I further certify that to the best of my knowledge and belief the attached is a full, true, and accurate translation of the **WO-Publication No. 2004/004729 (= PCT/EP2003/007060)**.

Signed this 6<sup>th</sup> day of December 2004

  
Anna Delia Henley-Bührke

DTT Rec'd PCT/PTO 30 DEC 2004

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

GMEINER et al.

International Application No. PCT/EP2003/007060

Serial No. NOT YET ASSIGNED

International Filing Date: 02 July 2003 (02.07.2003)

Filed: December 30, 2004

For: **UTILIZATION OF HETEROARENE CARBOXAMIDE AS DOPAMINE-D3 LIGANDS  
FOR THE TREATMENT OF CNS DISEASES**TRANSMITTAL LETTERCommissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

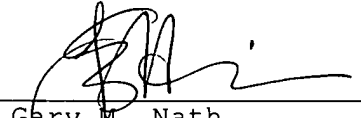
Sir:

Submitted herewith for filing in the U.S. Patent and Trademark Office is the following:

- (1) Transmittal Letter;
- (2) Transmittal Letter To U.S. Designated/Elected Office (DO/EO/US) Concerning Filing under 35 U.S.C. 371
- (3) International Publication Number WO 2004/004729 A1; International Publication Date: 15 January 2004 (15.01.2004) including International Search Report (in German & English) with verified English translation of application, which consists of 52 pages including:
  - 2 pages cover sheet containing the Abstract,
  - 37 pages Textual Specification,
  - 13 pages of 27 claims,
- (4) **Preliminary Amendment with Attachment A to be examined;**
- (5) Unexecuted Declaration/Power of Attorney;
- (6) PCT/IB/301 Notification of Receipt of Record Copy;
- (7) PCT/IB/304 Notification Concerning Submission of Priority Document;
- (8) PCT/IB/306 Notification of the Recording of a Change;
- (9) PCT/IB/308 Notice Informing the Applicant of the Communication of the International Application to the Designated Offices;
- (10) Check No. 22326 \$ 1,950.00 for Basic National Stage Fee, Examination Fee, and Search Fee and additional total & independent claims fee;
- (11) Postcard for early notification of serial number.

Respectfully submitted,  
**NATH & ASSOCIATES PLLC**

By:

  
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Tanya E. Harkins  
Registration No. 52,993  
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